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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/221,542	12/28/1998	JACQUES JOSEPH LABRIE	ST9-98-004	4441

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EXAMINER

CHEN, TE Y

ART UNIT PAPER NUMBER

2171

DATE MAILED: 10/27/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.
09/221,542

Applicant(s)
Labrie et al.

Examiner
Susan Chen

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136 (a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on Aug 7, 2003
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-28 is/are pending in the application.
- 4a) Of the above, claim(s) _____ is/are withdrawn from consideration
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-28 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claims _____ are subject to restriction and/or election requirement

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner
If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
*See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).
a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892) 4) ☐ Interview Summary (PTO-413) Paper No(s). _____
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948) 5) ☐ Notice of Informal Patent Application (PTO-152)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s). _____ 6) ☐ Other:

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Response to Amendment

1. This is in response to amendment filed on 08/07/2003 (paper # 12).
2. Claims 1-28 remain for examination, claims 1, 3-7, 9-13, 15-19, 23, 27 and 28, have been amended.

Claim Rejections - 35 USC § 102

3. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless -

(f) he did not himself invent the subject matter sought to be patented.

4. Claims 1-28 are rejected under 35 U.S.C. 102(f) because the applicant did not invent the claimed subject matter, which is anticipated by Chu et al. (U. S. Patent No. 6,493,720).

5. As to claim 7, Chu et al. (hereinafter referred as Chu) disclosed the invention as claimed including:

1) a computer having a memory and a data storage device coupled thereto that stores data;
[e.g., the Data Storage Device (106), Fig. 1];

2) one or more computer programs [e.g., the Data Guide Windows NT/95 GUI (608), the Visual Warehouse Windows NT GUI (612), Fig. 6], performed by the computer, for selecting a target

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object in an information catalog and providing information about a source from which the target object was derived [e.g. see Fig. 4 - Fig. 7].

6. As to claim 8, Chu further disclosed the target object is represented as a node in a tree structure [e.g. the Employee Table (708), Fig(s). 4 - 7].

7. As to claim 9, Chu further disclosed the system having one or more computer programs including means for providing the transformation information of source to target [e.g., the transform source Lineage processing of Hyperion Windows GUI (602), Fig. 6; the Transform processing of Visual Warehouse Tool (700), Fig. 7].

8. As to claim 10, Chu further disclosed the system having means to identify a transformation producing function [e.g., the tool monitoring processing (800, 802), Fig. 8].

9. As to claim 11, Chu further disclosed the system having means for providing lineage information [e.g. the lineage navigation paths of Fig.(s) 4-5];

10. As to claim 12, Chu further disclosed the system having means for maintaining transformation models for use in providing the lineage information [the Information Catalog System (208), Fig. 2].

11. As to claims 1-6, the steps in the claimed method are deemed to be made inherit by the functions of the apparatus structure in the combination discussed above, hence were rejected for

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the same reasons.

12. As to claims 13-18, these claims recite the same features as in claims 1-12 with a computer program product form. As the underlying process has been shown to be taught or fairly suggested by the teachings of Chu, hence they were rejected for the same reasons giving above.

13. As to claim 28, Chu further disclosed the system comprising:

a) a plurality of objects [e.g., the tree structure of Employee Table which has one of more object (e.g. the Employee Name), Fig. 7] including a target object wherein the target object was derived from one or more transformations of one or more sources data [e.g. the Employee Name is a target object by applying the SQL Select EMP_Name transformation processing on the source object (e.g. EMP_Name, EMP_Number, EMP_NUM) of Fig. 7];

b) a user interface for receiving user input for selecting one of the plurality of objects [the GUIs (602, 608, 610, 612, 616, etc., Fig. 6);

c) user interface configure to display the transformation lineage information in response to receiving user selected input [e.g., the Browsing & Display processes of GUIs (602, 608, 610, etc., Fig. 6].

14. As to claim 27, this claim recites similar features as in claims 1-18 and 28 in form of a computer-readable medium having contents to perform data navigating. As the underlying process has

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been shown to be taught or fairly suggested by the teachings of Chu, hence they were rejected for the same reasons giving above.

15. As to claims 1-7 and 19-26, the steps in the claimed method are deemed to be made inherit by the functions of the apparatus structure of claims 7-18 and 27-28, in the combination discussed above, hence were rejected for the same reasons.

Response to Arguments

16. Applicant's arguments with respect to claims 2-28 have been considered but are moot in view of the new ground(s) of rejection.

Conclusion

17. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

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18. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Susan Chen whose telephone number is (703) 308-1155. The examiner can normally be reached Monday through Friday from 7:30 A.M. to 4:30 P.M.

19. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Safet Metjahic, can be reached at (703) 308-1436. The fax phone numbers for this group is : (703) 872-9306.

20. Any inquiry of a general nature of relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-9600.

Susan Chen

Oct. 17, 2003


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